

FORM LM-30  
LABOR ORGANIZATION OFFICER AND  
EMPLOYEE REPORT

This report is mandatory under P.L. 86-257 as amended. Failure to comply may result in criminal prosecution, fines, or civil penalties as provided by 29 U.S.C. 439 or 440.

For Official Use Only

AUG 17 2005

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READ THE INSTRUCTIONS CAREFULLY BEFORE PREPARING THIS REPORT

1 File Number U <u>9988</u>	2 Fiscal Year Covered From <u>1</u> / <u>1</u> / <u>2004</u> Through <u>12</u> / <u>31</u> / <u>2004</u>
3 Name and address of person filling Name <u>Ralph</u> <u>Herrick Jr</u> P.O. Box Bldg Room No if any Street <u>132 Hamilton St</u> City <u>Saugus</u> State <u>MA</u> ZIP Code + 4 <u>01906</u>	4 Name file number and address of labor organization Name <u>Laborers Local 1421</u> Labor Organization File Number <u>028025</u> P.O. Box Building and Room Number if any <u>P.O. Box 51230</u> <u>Boston MA 02205</u> Street <u>623 Main St</u> City <u>Woburn</u> State <u>MA</u> ZIP Code + 4 <u>01801</u>
5 Position in labor organization <u>Executive Board Member</u>	

Enter appropriate data below if during the past fiscal year you or your spouse or minor child directly or indirectly had any of the following interests (except as specified in the exclusions set forth in the instructions)

A. Held an interest in engaged in transactions (including loans) with or derived income or other economic benefit of monetary value from an employer whose employees your organization represents or is actively seeking to represent	
6 Name and address of Employer (including trade name if any) Name <u>Not applicable</u> Trade Name if any P.O. Box Bldg Room No if any Street City State ZIP Code + 4	7 a Nature of Interest Transaction or Income <u>Not applicable</u> 7 b Amount <u>Not applicable</u>

Signature

15 Signature and verification The undersigned declares under penalty of Perjury and other applicable penalties of the law that all of the information submitted in this report (including the information contained in any accompanying documents) has been examined by the signatory and is to the best of the undersigned's knowledge and belief true correct, and complete (See the section on penalties in the instructions)

Signed

Ralph Herrick Jr  
Ralph Herrick Jr

On

Date

Telephone Number

Name of Person Filing

File Number U

B Held an interest in or derived income or economic benefit with monetary value from a business (1) a substantial part of which consists of buying from selling or leasing to or otherwise dealing with the business of an employer whose employees your labor organization represents or is actively seeking to represent or (2) any part of which consists of buying from or selling or leasing directly or indirectly to or otherwise dealing with your labor organization or with a trust in which your labor organization is interested

8 Name and address of Business (including trade name if any)

Name Not Applicable

Trade Name if any

P O Box Bldg Room No if any

Street

City

State

ZIP Code + 4

9 Business deals with

☐ a Labor Organization☐ b Trust☐ c Employer

10 If 9 b or 9 c is checked give trust or employer's name

Name Not applicable

Trade Name if any

P O Box Bldg Room No if any

Street

City

State

ZIP Code + 4

11 a Nature of such dealing

Not Applicable

11 b Approximate dollar value of such dealing

12 a Nature of interest held or income received

Not Applicable

12 b Amount

C Received from any employer (other than an employer covered under parts A and B above) or from any labor relations consultant to an employer any payment of money or other thing of value

a Name and address of Employer or Labor Relations Consultant (including trade name if any)

Name Not applicable

Trade Name if any

P O Box Bldg Room No if any

Street

City

State

ZIP Code + 4

14 a Nature of payment

Not applicable13 b Is the Business an Employer ☐or Consultant ☐

?

14 b Amount of payment

**ADDENDA TO THE LM-30 FORM WHICH IS TO  
BE INCORPORATED AND MADE PART OF THE LM-30 FORM**

**ADDENDUM A [UNSOLICITED GIFTS OR PROMOTIONAL ITEMS]**

On several occasions in 2004, I recall that I was given [a] complimentary promotional item[s], such as a [clothing item, accessory or printed material w/ with LIUNA logo etc ] At no time did I solicit such item[s], and they were sent to my office without my prior knowledge or authorization I did not retain possession of any of these items nor did any member of my family I have no knowledge as to the value of the item[s] and do not recall the manufacturer of such [an] item[s]

**ADDENDUM B [UNSOLICITED HOLIDAY GIFTS]**

On several occasions in 2004, particularly during holiday seasons, I recall that I was given complimentary items a [wine and cheese basket fruit basket, holiday ham, holiday turkey gourmet foods, etc ] At no time did I solicit such item[s], and it/they were sent to my office without my prior knowledge or authorization I did not retain possession of any of these items, as I shared them with the individuals in my office My actions were in line with published Office of Government Ethics guidelines which state When it is not practical to return a tangible item because it is perishable, the item may, at the discretion of the employee's supervisor or an agency ethics official, be given to an appropriate charity, shared within the recipient s office, or destroyed ' C F R. 2635 205

**ADDENDUM C [UNSOLICITED GIFTS – HOTEL]**

On several occasions in 2004, I recall complimentary gifts were sent without my request to my hotel room, such as a fruit basket, cheese basket, bottle of wine or spirits, etc I have no recollection or knowledge as to the value of the item, nor as to the purchaser or provider of such item

**ADDENDUM D [UNSOLICITED GIFTS – GOLF]**

I recall that I received unsolicited items at-golf outings/tournaments such as a sleeve of balls, a golf club or golf apparel, etc , in connection with a round of golf which I have reported At no time did I solicit such an item, and I have no specific recollection of receipt of any such item, nor knowledge as to the value of the item

**ADDENDUM E [MEALS/EVENTS WITH FRIENDS]**

I have personal friendships with individuals who may be employed by reportable entities under the LMRDA, which exist separate and apart from my role as a union officer/employee In 2004, it is conceivable that I received the benefit of a meal refreshment or social event from these individuals, which I did not report because I do not have any records of these personal encounters and/or have no specific recollection of any benefits received

#### **ADDENDUM F [MEALS/EVENTS WITHOUT SPECIFIC RECORDS OR RECOLLECTION]**

It is conceivable that I received the benefit of a meal, refreshment or social event from an individual who may be employed by a reportable entity under the Labor-Management Reporting and Disclosure Act, which I did not report because I do not have any records of these encounters and have no specific recollection of any benefits received

#### **ADDENDUM G [PAC]**

I am not reporting any benefits that I may have received from a political action committee ("PAC"). My understanding is that PACs report all receipts and disbursements under the Federal Election Campaign Act, and I do not need to report under the Labor-Management Reporting and Disclosure Act

#### **ADDENDUM H [UNION TO UNION BENEFITS]**

I am not reporting any benefits that I may have received in 2004 from labor organizations affiliated with the Laborer's International Union of North America ("LIUNA"), my employer, or other labor organizations. My understanding of guidance received by the AFL-CIO from the Department of Labor is that benefits received from LIUNA-affiliated labor organizations and other labor organizations are not reportable on the LM-30 report, and I am following that guidance

Thomas C Troy, Jr  
President/Business Manager

William P Hanley  
Secretary Treasurer



# Building Wreckers Local #1421

## Laborers' International Union of North America

PO BOX 51238 BOSTON, MASSACHUSETTS 02205-1238 Tel 781-933-1401  
Fax 781-933-1403

August 11 2005

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U S Department of Labor  
Employee Standards Administration  
Office of Labor-Management Standards  
200 Constitution Avenue NW  
Room N-5616  
Washington, DC 20210

**RE Form LM-30 Filing for Ralph Herrick Jr**

Dear Sir or Madam

Enclosed is my Labor Organization Officer and Employee Report LM-30 for the 2004 reporting period. In filing the report, I have reviewed all of my available 2004 records as well as my recollection. I have provided my best estimate or an estimated price range for the value of the benefit received where I have no knowledge as to an exact amount

As you know it was not until March of this year that the Department of Labor initially announced its intention to provide additional guidance to the reporting community concerning the LM-30 report, to seek systemic compliance with these requirements, and to apply standards adopted in 2005 retroactively to 2004 as a base year in that effort. Further the Department since that time has continued to issue and revise its compliance advice, including guidance regarding related benefit funds. My understanding is that the Department's guidance to date on LM-30 reporting is still changing and remains uncertain in various particulars

It may be possible that a covered employer or business not listed on my LM-30 report for 2004 provided something of value as to which I have no documentary record nor any present specific recollection. In accordance with your guidance, it is my understanding that, in that circumstance, I am not required to take any further action.

This filing reflects my good faith effort to comply with the LM-30 reporting provisions and in doing so, I have relied upon the evolving guidance from the Department. The enclosed material represents my best recollection and estimate of all lawfully reported benefits that I received in 2004

Sincerely

Ralph Herrick, Jr